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FORM PTO 1390
(REV 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

30698/CDT413

U.S. APPLICATION NO. (If known, See 37 CFR 1.4)

10/506914

INTERNATIONAL APPLICATION NO.
PCT/GB03/00857INTERNATIONAL FILING DATE
3 March 2003PRIORITY DATE CLAIMED
4 March 2002

TITLE OF INVENTION Phosphorescent Compositions and Organic Light Emitting Devices Containing Them

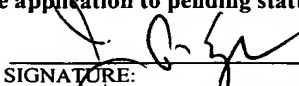
APPLICANT(S) FOR DO/EO/US Neil MAXTED, Annette STEUDEL, Alan MOSLEY, Mark ANDREWS, Kai LOOK,
and Nigel MALE

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: International Search Report; return receipt postal card

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|---|---|
| U.S. APPLICATION NO. 10/506914 INTERNATIONAL APPLICATION NO. PCT/GB03/00857 | ATTORNEY'S DOCKET NUMBER 30698/CDT413 |
| 21. <input checked="" type="checkbox"/> The following fees are submitted: | |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1080.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | |
| CLAIMS | NUMBER FILED |
| NUMBER EXTRA | RATE |
| Total claims | 36-20 = 16 |
| Independent claims | 1-3 = |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) | |
| TOTAL OF ABOVE CALCULATIONS = | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | |
| SUBTOTAL = | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). | |
| TOTAL NATIONAL FEE = | |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | |
| TOTAL FEES ENCLOSED = | |
| Amount to be refunded: \$ | |
| charged: \$ | |
| a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,208.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-2855</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | |
| SEND ALL CORRESPONDENCE TO: James P. Zeller MARSHALL, GERSTEIN & BORUN LLP 233 S. Wacker Drive, Suite 6300 Sears Tower Chicago, Illinois 60606-6357 (312) 474-6300 CUSTOMER NUMBER: 04743 | |
| SIGNATURE:  NAME: James P. Zeller | |
| REGISTRATION NUMBER: <u>28,491</u> | |

IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE

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|-------------------------------|---|----------------------------------|
| Applicants: Maxted et al. |) | For: PHOSPHORESCENT COMPOSITIONS |
| |) | AND ORGANIC LIGHT EMITTING |
| U.S. National Phase of |) | DEVICES CONTAINING THEM |
| PCT/GB03/00857 filed March 3, |) | |
| 2003 |) | Group Art Unit: To be assigned |
| Filed: Herewith |) | Examiner: To be assigned |
| |) | |
| |) | |

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that the attached five items (a) through (e) are being deposited with the United States Postal Service on September 3, 2004, in a postage-paid envelope addressed to Commissioner for Patents, Mail Stop PCT, P.O. Box 1450, Alexandria, VA 22313-1450 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EV323769789US.

- (a) Transmittal letter to the United States Designated/Elected Office (DO/EO/US) concerning a filing under 35 U.S.C. §371;
- (b) Application, including nineteen sheets of description, six sheets of claims, 1 sheet abstract, and one sheet of drawings;
- (c) Preliminary Amendment;
- (d) Information Disclosure Statement; and
- (e) International Search Report.


Richard Zimmermann